



EXELCIUS  
PRIME

## COMPLAINTS HANDLING PROCEDURE



## Contents

INTRODUCTION	3
PROCEDURE	3
RESOLVING CLIENT COMPLAINTS OR GRIEVANCES	3
NEXT STEPS	4



*In the event of a conflict between Exelcius Prime Ltd and a Client, terms expressed in English and expressed in any other language, the terms expressed in English shall prevail over those expressed in any other language.*

## INTRODUCTION

Exelcius Prime Ltd is authorised and regulated by the Cyprus Securities and Exchange Commission (licence no. 366/18) with registration number HE351869.

The Complaint Handling Procedure (hereinafter, the "Procedure") sets out the processes employed when dealing with complaints received from Clients.

A Client complaint is an expression of dissatisfaction by a Client regarding the provision of investment and/or ancillary services by the Company that did not resolve within 5 business days from receipt.

This Procedure is an adjunct to the Company's overarching general obligation to act honestly, fairly and professionally and in the best interests of its Clients and to comply, in particular, with the principles set out in the above legislation when providing investment services and other ancillary services.

You hereby acknowledge and accept that in case you have a complaint/dispute against the Company in relation to your trading on Cryptocurrencies/CFDs, such complaint/dispute is not eligible and shall not be accepted for review/consideration by the Financial Ombudsman of the Republic of Cyprus.

## PROCEDURE

A Client can file a complaint by contacting the Compliance Department of the Company at [complaintscy@exelciusprime.com](mailto:complaintscy@exelciusprime.com) or at the postal address **254, Arch. Leontiou A' Maximos Court A', Offices 73 & 74, 7<sup>th</sup> floor, 3020, Limassol**, providing at a minimum the below listed information:

- the identity of the Client who filed the complaint or grievance
- the identity of the employee that undertook to provide the service to the Client
- the department to which the relevant employee relates to
- the date of receipt of the complaint or grievance
- the details of the complaint or grievance – full description
- the extent in financial terms of the potential loss that the Client claims has suffered
- the date and in summary, the content of the reply of the Company to the said complaint or grievance

Complaints communicated to the Company must be received from the registered email of the Client as soon as possible after the subject matter of the complaint arose.



## RESOLVING CLIENT COMPLAINTS OR GRIEVANCES

Following the receipt of a complaint or a grievance, by the Company, the Head of the Compliance Department shall confirm to the Client the receipt of the complaint or a grievance and immediately make efforts to resolve the complaint or grievance within 5 working days from confirmation of its receipt.

Moreover, the Company shall provide to the Commission information of all complaints received and the way these are handled. In the event that the issue has not been resolved within 5 working days the Client will receive a unique complaint reference number and be informed that he should use the said reference number in all future contact with the CIF, with the Financial Ombudsman and/or the CySEC regarding the specific complaint.

The Company that will further inform the client that an initial answer/response to the complaint at hand should be expected four (4) weeks after the receipt of the complaint and that the Company will ensure that the complaint or grievance is resolved within eight (8) weeks from its receipt. In the event that the CIF is unable to respond within two (2) months, the Company will inform the complainant of the reasons for the delay and indicate the period of time within it is possible to complete the investigation. This period will not exceed three (3) months from the submission of the complaint.

The Compliance Officer shall inform the Board as well as the legal advisor of the Company of all Client complaints or grievances brought to him, at least annually. All decisions relating to Clients' complaints or grievances shall be communicated to Clients in writing (including electronic mail) and copies shall be retained by the Administration/Back Office Department.

## NEXT STEPS

When the Company reaches an outcome we will inform you of it together with an explanation of our position and any remedy measures we intend to take (if applicable).

If you are not satisfied with the Company's final decision you may submit your complaint to the Financial Ombudsman of the Republic of Cyprus and seek mediation for possible compensation. It is important that you contact the Financial Ombudsman of the Republic of Cyprus within four (4) months of receiving a final response from the Company otherwise the Financial Ombudsman of the Republic of Cyprus may not be able to deal with your complaint.

In the unlikely event that the Company was unable to provide you with a final response within the three (3) month time period specified above you may again contact the office of the Financial Ombudsman of the Republic of Cyprus no later than four (4) months after the date when we ought to have provided you with our final decision.

### 1. Contact Details of the Financial Ombudsman of the Republic of Cyprus:

**Website:** <http://www.financialombudsman.gov.cy>

EXELCIUS  
PRIME



**Email:** [complaints@financialombudsman.gov.cy](mailto:complaints@financialombudsman.gov.cy)

**Postal Address:** P.O. BOX: 25735, 1311 Nicosia, Cyprus

**Telephone:** +35722848900

**Fax:** +35722660584, +3572266011

2. Contact Details of the Cyprus Securities and Exchange Commission:

**Website:** <http://www.cysec.gov.cy>

**General email:** [info@cysec.gov.cy](mailto:info@cysec.gov.cy)

**Postal Address:** P.O. BOX 24996, 1306 Nicosia, Cyprus

**Telephone:** +35722506600

**Fax:** +35722506700

You may maintain your complaint with the Cyprus Securities and Exchange Commission, however please note that the Cyprus Securities and Exchange Commission does not have restitution powers and therefore does not investigate individual complaints.

Further information as to the procedure you need to follow can be found on <https://www.cysec.gov.cy/enGB/complaints/how-to-complain/>

It is understood that your right to take legal action remains unaffected by the existence or use of any complaint's procedures referred to above.



## **COMPLAINTS FORM**

This is the form the Complainant needs to fill in in order to submit the complaint to **Exelcius Prime Ltd** (the “Company”). Complete, up-to-date as well as accurate information is required to be provided to the Company for the proper investigation and evaluation of the complaint. The below Complaint Form is only indicative and not exhaustive. The Company may request further information and/or clarifications and/or evidence with regards to the complaint.

**DATE:**

## **CLIENT INFORMATION**

Name:

Surname:

ID or Passport Number:

Country of nationality:

Legal Entity Name (in case the Client is a legal person):

Account Number:

## **CONTACT DETAILS OF THE CLIENT**

Postal Address:

City/Province:

Code:

Country:

Telephone Number:

Email:



**DETAILS OF THE COMPLAINT**

Date when the Complaint was created:

Employee who offered the services to the Client (if applicable):

Description of the Complaint: (use a separate sheet if necessary)

I hereby certify and confirm that to the best of my knowledge, the information furnished above is true, accurate, correct and complete.

Signature

.....

For Official Use Only	
Received on:	Assigned to:
Received by:	Signature